

6
11/08/01
ID

Docket No. 205200US2PCT/hc

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Yuji UENOHARA, et al.

SERIAL NO: 09/807,963

GAU: 2166

FILED: June 1, 2001

EXAMINER:

PRICE AND RISK EVALUATION SYSTEM FOR FINANCIAL PRODUCT OR ITS DERIVATIVES, DEALING SYSTEM, RECORDING MEDIUM STORING A PRICE AND RISK EVALUATION PROGRAM, AND RECORDING MEDIUM STORING A DEALING PROGRAM



INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

RECEIVED

SEP 27 2001

Technology Center 2100

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references cited in the attached International Search Report listed on the attached form PTO-1449. Copies of the listed references have been received by the U.S. PCT Receiving Office from the International Bureau as acknowledged in the Notification of Acceptance.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

Joseph A. Scafetta Jr.

Marvin J. Spivak
Registration No. 24,913

Joseph A. Scafetta, Jr.
Registration No. 26,803



22850

Tel. (703) 413-3000
Fax. (703) 413-2220
(OSMMN 10/98)

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 205200US2PCT		SERIAL NO. 09/807,963	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Yuji UENOHARA, et al.			
				FILING DATE June 1, 2001		GROUP 2166	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	5,692,233	11/25/97	M. B. GARMAN			
	AB	6,061,662	05/09/2000	M. S. MAKIVIC			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AL	08-139151	05/31/96	JAPAN			
	AM	07-140289	06/02/95	JAPAN			
	AN	05-143571	06/11/93	JAPAN			
	AO	10-222488	08/21/98	JAPAN			
	AP	06-236383	08/23/94	JAPAN			
	AQ	11-259452	09/24/99	JAPAN			
	AR	09-245018	09/19/97	JAPAN			
	AS	08-335213	12/17/96	JAPAN			
	AT	07-36976	02/07/95	JAPAN			
	AU	06-28384	02/04/94	JAPAN			
	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW	S. MUROTA, Kabushiki Kaisha Kindai Sales, pages 28-50, "KINYU MONTE CALRO", May 14, 1996					
	AX						
	AY						
	AZ						
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

